

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/500086INTERNATIONAL APPLICATION NO.
PCT/JP02/13003INTERNATIONAL FILING DATE
12 December 2002PRIORITY DATE CLAIMED
26 December 2001

TITLE OF INVENTION

LIGHT-BEAM SWITCHING/ADJUSTING APPARATUS AND MANUFACTURING METHOD THEREOF

APPLICANT(S) FOR DO/EO/US

Keiichi AKAGAWA; Yoshihiko SUZUKI; Tohru ISHIZUYA; Junji SUZUKI; Katsuhiko KURUMADA; Masatoshi KANAYA & Toshiaki TAMAMURA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Express Mail Label No. **EV 466 259 410 US**Date of Deposit: **June 24, 2004**PTO/SB/08A; Change of Correspondence Address; Request for Publication of Assignment; 1st page International appln; 15 sheets formal drawings (Figs. 1-17); form PT) 2038 (credit card payment form).

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above with sufficient postage, and is addressed to the Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450

Barbara Villani
Barbara Villani

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1080.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$920.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

DT04 Rec'd PCT/PTO 24 JUN 2004

\$ 920.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months
from the earliest claimed priority date (37 CFR 1.492(e)).

\$.00

CLAIMS**NUMBER FILED****NUMBER EXTRA****RATE**

\$.00

Total claims

70 - 20 =

50

x \$18.00

\$ 900.00

Independent claims

11 - 3 =

8

x \$86.00

\$ 688.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$290.00

\$ 290.00

TOTAL OF ABOVE CALCULATIONS =

\$ 2,798.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$.00

SUBTOTAL =

\$ 2,798.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months
from the earliest claimed priority date (37 CFR 1.492(f)).

\$.00

TOTAL NATIONAL FEE =

\$ 2,798.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 2,838.00

Amount to be
refunded:

\$.00

charged:

\$.00

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 06-1378. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

CUSTOMER NO. 01933Douglas Holtz
Frishauf, Holtz, Goodman & Chick P.C.
767 Third Avenue
25th Floor
New York NY 10017-2023

LH:bv

SIGNATURE

Leonard Holtz

NAME

22,974

REGISTRATION NUMBER

10/500086

DT04 Rec'd PCT/PTO 24 JUN 2004

Attorney Docket No. 04269/LH

Express Mail Mailing Label
No.: EV 466 259 410 US

**IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE**

Date of Deposit: June 24, 2004

Applicant(s): K. AKAGAWA et al

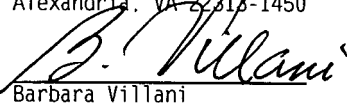
Serial No. : Based on
PCT/JP02/13003

Filed : Herewith

For : LIGHT BEAM SWITCHING/
ADJUSTING APPARATUS
AND MANUFACTURING
METHOD THEREOF

Art Unit :
Examiner :

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450


Barbara Villani

In the event that this Paper is late filed, and the necessary petition for extension of time is not filed concurrently herewith, please consider this as a Petition for the requisite extension of time, and to the extent not tendered by credit card payment attached hereto, authorization to charge the extension fee, or any other fee required in connection with this Paper, to Account No. 06-1378.

**REQUEST FOR PUBLICATION OF
ASSIGNMENT INFORMATION**

Commissioner for Patents
P.O. Box 1450,
Alexandria, VA 22313-1450

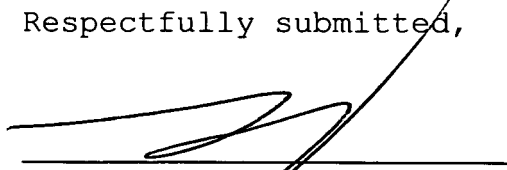
S I R :

It is requested that the following assignment information be published as part of the 18 month publication of the present application:

Nikon Corporation
2-3, Marunouchi 3-Chome
Chiyoda-ku, Tokyo 100-8331 JAPAN

NTT ELECTRONICS CORPORATION
12-1, Dougenzaka 1-chome,
Shibuya-ku, Tokyo 150-0043 JAPAN

Respectfully submitted,


LEONARD HOLTZ
Reg. No. 22,974

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DTOS Rec'd PCT/PTO 24 JUN 2004

PTO/SB/122 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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CHANGE OF CORRESPONDENCE ADDRESS <i>Application</i> Address to: Commissioner for Patents P.O. Box 1450 Alexandria, VA. 22313-1450	Application Number	Not yet assigned 10/500086
	Filing Date	Herewith
	First Named Inventor	AKAGAWA
	Group Art Unit	
	Examiner Name	
	Attorney Docket Number	04269/LH

Please change the Correspondence Address for the above-identified application to:

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I am the:

- ☐ Applicant/Inventor.
- ☐ Assignee of record of the entire interest. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
- ☒ Attorney or Agent of record. **Registration No. 22,974**
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number _____.

Typed or Printed

Name

Leonard Holtz, Reg. No. 22,974

Signature

Date

June 24, 2004

Telephone: (212) 319-4900

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

☐ Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing and submitting the completed application to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.